

work standard
rater & ratee
job expectations
communication
rating scales
performance evaluation
customer service
job responsibilities
rating cycle
major goals
essential criteria
rating scale
PAR rules
EEO implications
final assessment

par HANDBOOK

Performance Assessment Review

job achievement
interim
work assignments
performance factors
development plan
evaluation
point conversion

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Shaping a quality workforce through competence, caring and commitment



The purpose of this Handbook

is to give the user a better understanding of the performance appraisal system in New Jersey State Government and to detail the purposes of the PAR Program.

- [Section 1](#) provides the reader with an overview of the topic of performance appraisal. Included in this overview are the following: basic objective of performance appraisal and legal requirements of appraisal systems.
- [Section 2](#) provides information on how we arrived at this system for the State.
- [Section 3](#) gives an overview of the features of the program, the benefits of the new models, the rationale for the standardized rating cycle and the new 3 level ratings. It will also discuss the PAR rules and their implication for promotions and layoffs as well as the EEO obligations.
- [Section 4](#) takes the reader through the PAR process – from the drafting of the various segments of the PAR form through the appraisal interview process. It will also provide the reader with some guidance in developing goals, job responsibilities and essential criteria and in conducting appraisal interviews and dealing with difficult situations.
- [Section 5](#) discusses the new Performance Assessment Review System. At the end of the document there are some frequently asked questions and responses.

This Handbook is not meant to be all-inclusive of performance appraisal systems. It is meant to give assistance to those who are raters, ratees and reviewers in order to improve the entire process of performance appraisal.

SECTION 1 Overview

The important work of State Government done on behalf of the people of New Jersey is accomplished through the individual and team efforts of over 70,000 State employees.

To do their best, employees need to understand the mission and goals of their department or agency and how their work fits into the overall organization. They need to know that their efforts matter and make a difference and that their supervisors and colleagues recognize and acknowledge them. Overseeing performance and providing feedback is not an isolated event, but an ongoing process that takes place throughout the year.

The PAR Program is part of that process. It provides an excellent opportunity to communicate with an employee about past performance, evaluate the employee's job satisfaction and make plans for the employee's future performance. Performance Management, through the PAR Program, is a critical managerial

process used to define, assess and enhance employee performance, operational outcomes and results. It helps employees understand organizational goals and their roles in achieving those goals and serving the State.

Performance appraisal is a pivotal management technique. Numerous workforce decisions are supported by performance appraisals such as promotions, demotions, retention, development, transfer, and pay.

"Performance appraisal is a conscientious effort at formally, rationally, and objectively organizing our assessments of others."¹ Focusing attention on the objective, job-related criteria for assessing performance, provides the manager with the means for making appropriate decisions that rationally contribute to the organization and

individual's effectiveness.²

Research has shown that how employees perceive a performance appraisal system is a crucial element in determining its usefulness and success. For this reason, it is critical that the employees of the State of New Jersey understand the purposes and processes that comprise the Performance Assessment Review (PAR) Program. As cited in Daley, case law outlines six criteria for constructing performance appraisal systems. Job analysis, work behaviors, communication, training, documentation and monitoring combine to guide in the development of systems capable of appraising performance.³ Research has shown that the performance on which an individual is to be appraised must be clearly understood if the resulting ratings are to be valid and reliable.⁴ Both the

¹Dennis M. Daley, *Performance Appraisal in the Public Sector*, Connecticut: Quorum Books, 1992, p. 14.

²*Ibid.*, p. 14

³*Ibid.*, p. 6

⁴*Ibid.*, p. 21

ratee and rater need to understand the job requirements that the ratee is expected to fulfill. Without this mutual understanding, it is impossible to either perform or evaluate the ratee's work.

Feedback is an essential component of the appraisal process. Every step of the process relies on communication between the rater and ratee. Although it is often difficult to deliver perceived bad news, if a ratee is not performing up to expectations, it is essential that the ratee be given that information as soon as possible and that every effort is made to assist the employee in correcting performance problems. Training is also an integral part of this process. This document is but one part of the training that will be offered in an effort to ensure that the appraisal process is conducted in the proper manner. As in other efforts, the results are improved if everyone knows what to do. Thus, not only is it important for the raters to identify the specific type of training that is needed to improve the performance of a ratee, it is important for the rater to know how to conduct the appraisal process.

Documentation is essential in any process that can ultimately

determine personnel actions. The importance attached to an individual's job is such that the courts have extended the rules of evidence to cover the employment of performance appraisal systems. Organizations must be able to produce evidence in support of their personnel decisions, especially in those incidences wherein severe sanctions and job loss are imposed. As the State of New Jersey has moved to a system whereby performance will count more and more in making determinations such as who gets promoted and who will be retained during a reduction in force, it is critical that documentation is available to substantiate the decisions that are made.

To assist departments during this transition period and also to ensure that the system is handled equitably across all departments, the Department of Personnel will conduct audits of the PAR Program. It is also recommended that each department monitor the various aspects of the PAR Program within its agencies and divisions, take corrective actions when necessary, and reach out for assistance when needed. The Department of Personnel stands ready to lend whatever assistance is needed.

Every step of the process relies on communication between the rater and ratee.

Documentation is essential in any process that can ultimately determine personnel actions.

SECTION 2 History

Performance appraisal is not a new technique in organizational management. Even in New Jersey State Government, performance appraisal is not a newcomer. It has been in existence in New Jersey State government for many years.

As reported in the 1970-1971 Annual Report of the Department of Civil Service, the Department received assistance from the United States Civil Service Commission in a study of our Performance Rating System. Then Commissioner James A. Alloway stated: "The existing State Employee Performance Evaluation System requires a substantial amount of time and has shown little or no known beneficial results." This led to the creation of a new evaluation program known as the Employee Performance Evaluation and Improvement System that was implemented during the 1971-1972 fiscal year. The PAR Program was initiated in 1985 to replace the Employee Performance Evaluation and Improvement System (EPEIS).

The PAR Program was designed to give supervisors and managers more structure in evaluating the performance of subordinates and emphasized employee development. Since this program continued the practice of presenting supervisors and managers with a blank sheet of paper, the use of the form was seen as intimidating. In addition, it was difficult to ensure any level of consistency among raters and compliance with the program was extremely low.

In 1994, the Commissioner of Personnel formed a Committee to review the Performance Assessment Review Program. The Committee was comprised of management representatives from various executive departments and union representatives from the bargaining units representing the workers in state govern-

ment. It was charged with making recommendations to improve all aspects of the program. The Committee report was submitted to the Commissioner of Personnel in December 1994. The Committee found the following:

- there was low participation;
- the form was not user friendly;
- there were numerous rating cycles based on anniversary dates that changed based on certain personnel actions; and,
- the interpretation of the scales was left up to the individual supervisor.

Of the recommendations made, the ones that were implemented almost immediately were:

- the standardized rating cycles (all employees in an Agency receive Interim and Final Ratings during the same two months of the year) based upon Agency needs rather than the individual anniversary date based cycles; and,
- the design and piloting of specific models.

The PAR Unit carefully researched the best practices in the public and private sectors with respect to performance appraisal systems. The results were the five models that were offered to the various departments of state government:

PAR Committee Model, Performance Factor Checklist Model, Work Standards Checklist Model, Management Objectives Model, and the 360° (multi-rater) Model. Of the models offered, only the 360° multi-rater Model was not selected for use by any department.



- ▶ 1970-1971 committee formed to study our performance rating system, which created the Employee Performance Evaluation and Improvement System (EPEIS)
- ▶ 1985 this system was replaced with Performance Assessment Review (PAR)
- ▶ 1994 committee formed to review and improve the program. Five models were recommended.
- ▶ 1997-1998 models were refined and implemented in 1999.
- ▶ 1999 committee formed to make recommendations regarding implementation of changes.
- ▶ 2000 published report.

SECTION 3 Features

The major change to the system was the reduction in the number of rating levels from five to three.

The Models were refined and piloted during 1997 and 1998, and implemented during 1999. Late in 1999 another committee was formed to study the PAR Program and make recommendations regarding implementation of the changes that were about to be adopted by the Merit System Board. The committee, comprised of management and union representatives, published its report in February 2000. The major change to the system was the reduction in the number of rating levels from five to three. In addition to the change from a five level rating scale to a three level rating scale, the anchor points are now unsatisfactory, commendable and exceptional.

PREVIOUS	CURRENT
5 = Outstanding	3 = Exceptional
4 = Commendable	
3 = Successful	2 = Commendable
2 = Needs Improvement	
1 = Unsatisfactory	1 = Unsatisfactory

Whether a department selected the PAR Committee Model, the Performance Factor Checklist Model, the Work Standard Checklist Model or the Management Objectives Model, the basic framework of the program is consistent. In every model, there is a requirement for an initial meeting between the rater and ratee; a meeting six months later between the rater and ratee at which time an interim evaluation

is completed and a meeting six months later at which time a final evaluation is completed. At each stage of the process, the rater is expected to justify the ratings in behavioral terms, i.e., what actions did the ratee take, what results or outcomes were observable. In addition, the rater is expected to put forth a development plan for the employee. **Note: Even an exceptional employee can benefit from developmental activities.**

Benefits of the new models:

Based on research and discussions with subject matter experts, it was determined that these models would increase the likelihood that:

- Job Expectations will be clearly identified and therefore achieved
- Like Performance will be rated similarly
- Communication between the rater and ratee will take place

The forms developed subsequent to the work of the PAR Committee strengthened the focus on Job Expectations by enhancing this element in the structure of the forms. It is thus now more likely that Job Expectations will actually be recognized, emphasized, and achieved.

The 1985 PAR did not provide any guidance to the raters or the ratees. Different participants, even in similar work environments, could devise different rating criteria and thus rate similar behavior differently. The new models use Major Job Responsibilities, Essential Criteria and Rating Scales with pre-determined anchor points. As a result, since participants in comparable work environments will now be rated using the exact same instrument, it is now more likely that like behavior will be rated similarly.

The structure of the new models facilitates key face-to-face conversations between the rater and ratee, as well as pertinent sign-off by ratee, rater, and reviewer. The forms also allow for the inclusion of comments by the ratee. The form successfully sets the stage for appropriate communication between the parties.

The time frames established for the PAR process in each department is dependent on the business needs of that department. This standardized rating cycle is tied into the mission and goals of the department as a whole rather than individual anniversary dates that were unrelated to business objectives. The concept of using anniversary dates for evaluating performance and disbursing salary increments, although logical on some basic level, caused a tremendous amount of administrative

In designing the new models care was taken to ensure that communication was the basis for all decisions.

work. Supervisors and managers were required to keep track of numerous anniversary dates and the changes that occurred to these dates when certain types of personnel transactions occurred. Needless to say, the burden of keeping track of so many dates resulted in non-compliance. With the standardized rating cycles, supervisors, managers and employees know when ratings are due and everyone can participate in the process of reminding one another that ratings are due.

Comparison of Features of Five PAR Models

Features	Par Committee Model	Work Standard Checklist Model	Performance Factor Checklist Model	Management Objectives Model	360° Model
Rater & Ratee Identify Job Expectations	Yes	Yes	Yes	Yes	-
Major Goals of Unit Stated	Yes	Yes	Yes	Yes	-
Major Goals of Ratee Stated/Basic Assignments of Ratee defined	Yes	-	-	Yes	-
Major Job Responsibilities Stated	Yes	Yes	No	-	-
Essential Criteria for Commendable Performance Stated	Yes	Yes	Yes	Yes	-
Performance Factors Defined	Yes	Yes	-	-	-
Performance Goal/Project Defined	-	-	-	Yes	-
Certification of Meeting	Yes	Yes	Yes	Yes	-
Ratings based on Accomplishment of Essential Criteria	Yes	Yes	Yes	Yes	-
Employee Development Plan Required	Yes	Yes	Yes	Yes	Yes
Standardized Rating Cycle	Yes	Yes	Yes	Yes	Yes

The Three-Level Rating Scale

exceptional
commendable
unsatisfactory

As defined above, the new three-level rating scale has the following anchors: exceptional, commendable and unsatisfactory.

The definitions and anchor points are shown in **Appendix A**.

When rating the performance of a ratee, the definitions should be consulted to ensure that any previous conceptions of the terms do not impact on the rating given. One should be careful not to allow any preconceived notions particularly of the term “commendable” to guide how one rates performance under this system.

PAR Rules

The rules that guide the Performance Assessment Review (PAR) Program can be found in Title 4A, Chapter 6, Subchapter 5. There are several key points that differentiate the current rules from past rules:

- Three level rating system
- standardized rating system
- explicit requirement that all supervisors’ PARs contain a statement that supervisors (raters) must complete the PARs of their subordinates and if Supervisors fail to do so they will be subject to an “Unsatisfactory” PAR rating and possible disciplinary action
- additional step in the grievance process – the ability of ratees to have their grievances heard by a Joint Union Management Panel if issues are not resolved at the first step grievance procedure
- the establishment of merit points based on the PAR rating; 0 points for an “Unsatisfactory” Rating, 1 point for a “Commendable” Rating and 2.5 points for an “Exceptional Rating”; the merit points will be combined with seniority points beginning January 1, 2001.

EEO Implications

As with other selection decisions, the Performance Assessment Review (PAR) process is subject to the criteria established by the Federal EEOC for adverse impact. It is the responsibility of the Affirmation Action Officers to investigate claims of discrimination and to bring these to the attention of the Director, EEO/AA, Department of Personnel. The Department of Personnel’s Audit Team will also be determining if adverse impact exists and will make recommendations for appropriate corrective action.

In all elements of life, performance counts and in the employment part of life this notion has finally become a reality for the government workforce in New Jersey. In addition to the parity rate, the compliance rate of the agency will be a factor in determining if the merit point based on the PAR ratings will be used. The standard of 85% compliance has been set as the benchmark. This makes it critical that the Human Resource Departments as well as the manager and supervisors are vigilant about this process.

ADA considerations are important in the PAR process. Reasonable accommodations that are required under the provisions of the ADA laws should not be ignored when the PAR documents are established.

Section 4 will discuss the PAR process and the Models in more detail.

SECTION 4 *P*rocess

Performance Sessions / Meetings

There are three basic steps in the PAR process.

1

The first step of the process or Initial Agreement is at the beginning of the rating cycle when the employee and supervisor review the Job Expectations for the position.

This is the appropriate time for rater and ratee to discuss and clarify the essential criteria (standards) by which the employee will be measured at both the Interim and Final Evaluations.

2

The second step, the Interim Assessment, occurs six months into the rating cycle. The purpose of the interim is to give ratees an indication of their progress and establish and implement any development plans halfway through the rating period. Although this rating is not recorded in the PAR Database as an action item, it is a required part of the PAR process. This step facilitates communication about performance, assists in ensuring that there are no surprises at the final evaluation and is part of the evidence required to sustain actions based on performance ratings.

3

The third step, the Final Assessment occurs at the end of the rating cycle and is an evaluation of overall performance for the entire rating cycle. At this time also a development plan addressing skills and competencies identified for improvement should be established. The Final Assessment rating is recorded in the employee's record and is the rating that triggers or supports the other personnel actions associated with the PAR.

Although there are three required meetings during the PAR cycle, it is incumbent upon the supervisor to meet with the ratee and provide feedback as often as it is deemed necessary to ensure that the objectives of the unit are being met.

Three Main Participants in the PAR Process

The Ratee is the employee being evaluated. Everyone is a ratee. This person is the focus of the assessment. As in any other communication process, there must be an exchange of ideas in the PAR process. Both the Ratee and the Rater are responsible for working together in the development of job expectations and the provision of open and honest feedback about job expectations, the interim and final assessments and the development plan.

The Rater is the immediate supervisor of the Ratee. Immediate supervisor is defined as the person who receives and/or dispenses the work. The Rater has the responsibility of conducting the performance assessment and giving open and honest feedback to the Ratee about performance throughout the rating cycle. Raters who do not fulfill this part of their responsibility will be given an Unsatisfactory Rating and may be subject to discipline. (NJAC 4A: 6-5.2e)

In those instances where an individual receives work from more than supervisor, it is recommended that one supervisor take the lead and coordinate all work assignments. At the end of the rating cycle, the supervisors meet to discuss how their work was handled and arrive at a consensus about the rating. It is advisable in this situation for all those who give work to an employee, to give feedback at various times during the rating cycle. This can be done either through the coordinator or personally.

The Reviewer is the Rater's supervisor (or manager) and is responsible for ensuring appropriate administration of the PAR Process. Reviewers are also responsible for setting goals and expectations for the organization, unit or division. The Reviewer is strongly encouraged to take an active role in all parts of the PAR process. This may include managing performance management meetings and conflict resolution meetings. When it is time for the rater to give the rating, there should be no surprises amongst the parties. The reviewer should be comfortable with the ratings assigned based upon the performance of the unit and the organizational results achieved. The Reviewer, however, does not have the right to change the rating once Rater and Ratee sign it. The major role of the Reviewer is to check for consistency in the PAR process.

In summary, then, there are
three parties involved:

Ratee: The Employee being rated

Reviewer: Rater's supervisor or manager.

Rater: Immediate supervisor who receives
and/or assigns the work



Components/Elements of the Models:

PAR Committee Model:

- Section 1: Job Expectations and Evaluation
- Section 2: Performance Factors
- Section 3: Computation and Conversion to Overall Rating
- Section 4: Justification Sheet and Development Plan – Interim
- Section 5: Justification Sheet and Development Plan – Final
- Section 6: Fact Sheet of Significant Performance Events

Performance Factor Checklist Model and Work Standard Checklist Model

- Section 1: Job Expectations and Evaluation
- Section 2: Point Conversion to Overall Rating
- Section 3: Justification and Development Plan – Interim
- Section 4: Justification and Development Plan - Final
- Section 5: Fact Sheet of Significant Performance Events

The first section

The purpose of the Job Expectations and Evaluation Section is to define the employee's job in relationship to the mission of the organization and provide a clearly defined mechanism for evaluation.

of the Performance Factor Checklist and the Work Standard Checklist Models is called Job Expectations and Evaluation. The first page is comprised of the Major Goals of the Work Unit, Basic Ratee Assignment and a Signature Section, as well as space provided for Ratee Comments. In the Work Standard Checklist Model, the second page of section one details the major job responsibilities, the essential criteria, the rating scales and the methodology for computing the total points accumulated. In the Performance Factor Checklist Model, the second page of section one details the Job Achievement Performance Factors, the essential criteria and the rating scales, followed by the Job Related Performance Factors, essential criteria and rating scales. At the end of this section is the methodology for computing the total points accumulated by the ratee.

The second section of both the Performance Factor Checklist Model and the Work Standards Checklist Model gives the conversion formula, that is, the chart for converting the number of points accumulated into the overall rating.

In the third section of both models, there is space provided for the justification of the rating given, for a development plan and specific actions to be taken by the ratee. In addition, there is a certification section that indicates that a meeting has taken place and whether or not the ratee agrees or disagrees with the assessment that has been made.

The fourth section is the same as the previous section and is used for the final rating.

The fifth and final section provides space for the rater to record significant events that impact on the rating. It also provides space for the ratee to comment. This section is designed for use as the rating cycle progresses. It should not be filled in as an afterthought or as a means of justifying the rating given but as a tool to provide ongoing feedback.

Please note that in each section of the form there is a space for conference confirmation and signatures. The date of the conference is entered into the space provided, after the review and discussion occur. The Ratee's signature here indicates that the job expectations and evaluation mechanism used have been discussed. The Ratee then has the opportunity to note agreement or disagreement and any relevant comments, concerns or reasons for disagreement. The Ratee may use additional sheets if necessary.



The initial requirement of the Job Expectations Section is the identification of the Major Goals (purpose, mission, objectives) of the Ratee's Work Unit. This component is typically pre-defined.

This component is significant because it gives the rater and ratee the opportunity to discuss the ratee's job in relationship to the "Big Picture." Typical questions are: Why is the ratee's job important to the organization? How does the individual's job make a contribution to the organization's accomplishment of its goals?

The rater and reviewer sign the certification section, indicating that the process has been followed and that they are aware of the any concerns or issues documented by the ratee.

Job Expectations: Major Responsibilities

Once there is an understanding of “Why” the work unit exists and the employee’s contributing role to that unit, it is easier to talk about the specific job responsibilities of the ratee.

The Major Job Responsibilities are principal duties or tasks, which must be accomplished by the ratee in order to achieve the Unit’s goals and the ratee’s assignment. What are the key duties or tasks of the ratee? These Major Job Responsibilities are pre-defined in the Work Standard Checklist model.

There are no fixed number of Major Job Responsibilities for a position. The number varies with the job and may even vary from year to year for the same job, depending

upon program initiatives. Usually, however, there are six to ten major job responsibilities in any given job. If you think of major job responsibilities in terms of categories of assignments such as supervising, planning, typing, cleaning, scheduling, etc., then it is necessary for you to give examples of some of the specific tasks that fall under that category to ensure that there is a clear understanding of what needs to be done. (See **Appendix B** for examples of Job Responsibilities)

When the Major Job Responsibilities are determined and established, the following questions should be asked in relationship to the position:

If you cannot answer “yes” to any of these questions, then, perhaps, this is not a major responsibility

1. How does the job responsibility contribute to the goals and objectives of the ratee and the Work Unit?
2. Is it critical or vital to the job?
3. Does statute or regulation require the job responsibility?
4. Does performing the job responsibility appropriately take up a significant amount of the ratee’s time?

Essential Criteria:

Once the Major Job Responsibilities are outlined, the Essential Criteria describing the measures used to determine the ratee's success are defined on the form. These should describe what the job responsibility looks like when it is performed correctly; the acceptable end result of the task or duty. There must be at least **one** Essential Criterion for each major job responsibility.

Essential Criteria are written at the level necessary to meet the work unit goals. They describe the acceptable level of performance that the ratee must achieve in order to meet the work unit goals. Essential Criteria describe the performance at the "Commendable" level.

The ratee may inquire about what would be considered "Exceptional" performance and, therefore, the rater should be able to discuss this at the time of the initial meeting.

Goal Achievement

Essential Criteria can define what the achieved goal looks like.

They can define the quantity associated with the Major Job Responsibility by determining the amount (how much or how many) of product or service is acceptable to meet the work unit goals.

Quality speaks to how well, how accurate or how effective the job responsibility is performed. Since quality can be subjective, it is necessary for the rater to clearly define what he/she means by quality statements. Essential Criteria dealing with

specific time frames or deadlines make up the timeliness element. If the work must be performed daily, monthly or within established timelines, that fact is identified for the major job responsibility.

Finally, cost criteria can be identified, whether they are budgetary constraints or cost savings realized.

Good Essential Criteria should follow the SMART principle:

they must be:

Specific They should be **explicitly stated and distinctive** actions related to the successful accomplishment of the job responsibility. If they are too broad, they will be difficult to measure.

Measurable Essential Criteria must be **quantifiable**. They must be observable, something a person could determine through use of one or more of the five senses (seen, heard, smelled, tasted or touched).

Attainable Essential Criteria must be **attainable**. It must be reachable, within the power and scope of the ratee to accomplish. Something that the ratee can do.

Reasonable Essential Criteria must also be **reasonable**. Not only something that can be done because it is within the ratee's power, but something the ratee has the prerequisite training for and the necessary and appropriately functioning equipment to use.

Tied Finally, good Essential Criteria are **tied**, that is, linked to the goals of the organization.

APPENDIX B

Justification Sheet and Development Plan

Justification Sheet

In this section, the rater should recognize and document positive contributions and areas needing improvement and provide justification for the Overall Rating. This is done by citing specific examples-both positive and negative which support and justify the rating given.

(See Appendix C for an example of a Justification)

Development Plan

In this section, the rater should identify skills and competencies targeted for improvement or growth. Although weaknesses are typically the focus of development plans, it is appropriate and highly recommended that this forum be used to increase an employee's strength in a particular area.

The Development Plan outlines a specific action plan related to areas where growth of skill or knowledge is

desired or needed. In order to provide clarity for the ratee, it is suggested that raters prioritize the areas targeted for development.

It is in the best interest of both the rater and ratee mutually to develop a specific plan of action. This development plan should include the identification of any resources necessary for successful achievement and a plan to address the possible barriers that may arise.

(See Appendix D for an example of a Development Plan)

Significant Event / Fact Sheet

The purpose of the fact sheet is to record any Significant Event, positive or negative, that occurs throughout the rating cycle.

Many times, a rater may wait until the last minute and attempt to recall specific events when determining the rating. This is not only difficult, but very impractical. Therefore, this sheet was developed to capture significant events as they occur, with both the rater and ratee initialing the description of the event and making comments.

The Significant Event Sheet was designed for and should be used to capture both positive and negative events. Sometimes we tend to only notice the negative and ignore the

positive contributions made by staff. This sheet should be used for both.

It is up to the rater to decide whether an event is considered “significant.” However, this does not preclude a ratee from bringing a particular event to the attention of the rater for inclusion in the Significant Event Sheet. It is important to reiterate that this section is designed for use as the rating cycle progresses. It should not be filled in as an afterthought or as a means of justifying the rating given, but as a tool to provide ongoing feedback.

Planning for the Appraisal Interview

Effective supervisors and managers plan their work. The planning process applies not only to major projects but also to the performance of one’s employees. As one would plan for any meeting, the performance appraisal meetings should be given the same amount of attention. One should be prepared and give the ratee enough notice so that ratee can be prepared.

The meeting should be scheduled for a time when there will be no interruptions. If for some reason there is an interruption reschedule.

In developing goals, review the mission of the department and any statutory or regulatory authority creating the department or unit. Although the job specification is a general document and should not be repeated on the PAR, it is a good starting point for reviewing the

major tasks for a position. However, you must avoid the temptation to use this document rather than to cite the actual tasks performed by the ratee.

(See the Appendix B for examples of job responsibilities and essential criteria.)

Feedback sessions can be difficult but they are essential. If raters have done their job properly through the rating cycle, the interim and final rating meetings will not bring any surprises to either party. However, there is always the possibility that the ratee will get emotional about the information that a rater is sharing. No one wants to feel like a failure and the purpose of these ratings and conferences is not to belittle the ratee. The rater should acknowl-

edge the contributions that the ratee has made, acknowledge the progress that has been made while being honest about where there is a gap between expectations and results. Again, the ratee should know this before walking into the room. The rater should keep the discussion on target. This is not about the personality of the ratee. It is about the work produced or not produced; it is about results and outcomes.

As stated previously, the appraisal process requires open communication.

Key to the process is giving and receiving feedback.

To ensure that the process is effective, the rater should utilize the principles of giving constructive feedback.

Constructive Feedback

Strategies for maximizing the impact of feedback:

- focus on future outcomes rather than on negative past circumstances or occurrences;
- focus on specific behaviors and not the person;
- use “I” statements rather than “You” statements; in these statements make it clear what the rater’s expectations are;
- provide suggestions for improving performance;
- provide guidance in advance of the performance event.

As part of this process, the rater must be willing to listen to feedback from the ratee. Using active listening techniques during this process will assist in ensuring effective communication. Active listening involves reflecting, paraphrasing and summarizing key points and feelings. These techniques encourage the speaker to clarify what has been said; check the understanding of what has been said; acknowledge the other person’s viewpoint; and reduce the emotion or tension in a difficult situation.

The feedback session should set the stage for additional meetings with

the ratee. These sessions can be brief but they will keep the rater and the ratee informed and will indicate an ongoing interest in the ratee’s job performance and work product and the department’s and unit’s goal.

One should never lose control of these feedback sessions. If the rater senses that the ratee is becoming emotional, one should take time out and if necessary, reschedule. Remember that the rater has the resources of the reviewer, the human resources office and the Employee Advisory Service to assist with serious problems.

SECTION 5 PARS

Performance Assessment Review System

The Department of Personnel (DOP) has designed, developed and implemented a Performance Assessment Review System (PARS) to help manage the PAR Program.

PARS will enable DOP and the various Human Resource Offices throughout the State to monitor, analyze, evaluate the progress and status of the PAR Program down to the level of the individual employee. Moreover, PARS has enabled the development of a “Rating Tracking System” which is particularly helpful in monitoring the PAR System. “Tracking” consists of reviewing the ratings awarded by individual raters and subsequently giving raters

(See Appendix E for a discussion of common evaluation errors.)

feedback concerning the quality of their ratings. It is useful to focus part of the progress review on the levels of ratings awarded and, where possible, the justification for the levels awarded. The progress reviews can furnish insight into a rater’s understanding of the PAR process and adequate ratings available in the system. For example, a review may suggest that a rater who consistently gives all high ratings could be committing a leniency error. On the other hand, a rater who rated most employees low may have fallen prey to the stringency error, and one who rated most employees in the middle of the scale may be demonstrating the error of central tendency.

The problem becomes further exacerbated when all members of one group receive very high ratings whereas those of another work unit in the immediate vicinity receive generally low ratings. Rather than relying on rumor and innuendo, the collection of data will inform decisions and assist in determining next steps. When there are inconsistencies in ratings, it will not be assumed that there is an error. It could be that there were no errors and the ratings were justified, however, the system will assist in determining what is actually happening. Checking other performance indicators such as results or the progress of projects can often make some judgment about the

Rating Tracking System

validity of such rating patterns. Although possible, it would probably be infrequent that most employees in a work unit would receive high ratings and the unit fail to accomplish its assigned goals. Similarly, a unit achieving its goals would not normally be expected to have a relatively large number of low individual ratings.

The tracking system looks for inconsistencies, omissions, inappropriate statements, process errors and other issues which do not involve the technical requirements of the particular job.

Computers are increasingly being used in many aspects of Human Resource management, particularly useful is a system that is used to acquire, store, manipulate, analyze, retrieve and distribute pertinent information regarding (organizational and individual) performance, goal attainment, employee skills/competencies and employee development needs.

When automated systems such as PARS are used to dramatically streamline the processes, they add value to the organizations in new and creative ways.

PARS will provide individuals and management with information on employee performance, goal attainment and employee development needs. Moreover, it will provide them with the opportunity to use this information to guide and support decision-making and long-range planning regarding staffing and organizing. PARS will also reduce and, in many instances, eliminate the need to keep and maintain duplicate data.




Among its many other features, PARS can and will be used to assist managers and employees diagnose their own development needs which then can be used to identify organizational competencies available or needed, as well as to create individualized development plans.

Appendix A

Definitions and Anchor Points




JOB PERFORMANCE FACTORS




These factors are directly related to the outputs of the job: Section 1 Major Goals, Job Responsibilities and Essential Criteria.




	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Goal Achievement Overall extent to which employee accomplishes established ratee goals.	Failed to accomplish most major goals; original objectives were not entirely achieved .	Achieved or exceeded major goals.	Significantly exceeded original goals and objectives.
Cost Overall extent to which employee satisfies the essential cost criteria.	Failed to meet most or all of the essential cost criteria.	Met or occasionally exceeded essential cost criteria.	Significantly exceeded essential cost criteria; achieved dramatic cost saving.
Quality of Work Overall extent to which employee thoroughly and accurately meets the quality criteria.	Failed to achieve most or all essential quality criteria.	Achieved or occasionally exceeded all essential quality criteria.	Significantly exceeded essential quality criteria.
Quantity of Work Overall extent to which employee produces an acceptable amount of work as defined in the quantity criteria.	Failed to produce an acceptable amount of work as identified in the essential quantity criteria.	Produced acceptable or greater amount of work and met or occasionally exceeded essential quantity criteria.	Significantly exceeded essential quantity criteria.
Timeliness Overall extent to which employee meets specified schedules and deadlines.	Rarely met work schedules or deadlines. Often was late in completing assignments within specified time frames.	Met and occasionally completed assignments ahead of specified deadlines.	Consistently completed assignments, projects and job responsibilities ahead of scheduled deadlines.




JOB RELATED FACTORS




These global factors support the performance of the job.




	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Conscientiousness Displays a high level of effort and commitment towards performing work; demonstrates responsible behavior.	Failed to address problems in own task area, was often off schedule; displayed little or no commitment to completing tasks; resisted learning new skills to enhance own work.	Solved problems in own task area; displayed commitment to completing tasks; learned new skills to enhance own work. Occasionally took on added responsibilities when requested; displayed commitment to completing tasks.	Consistently took on extra responsibilities voluntarily to respond to shifting priorities, or schedules; displayed a high level of commitment to the organization and its customers through the quality of work while completing tasks ahead of schedule.
Creative Thinking Uses imagination to combine ideas or information in new ways.	Rarely, if ever, generated new ideas. Ideas were very limited in scope and had little impact.	Occasionally generated new ideas that had a positive impact.	Regularly generated new ideas that were highly innovative and had a very significant positive impact.
Customer Service Identifies and meets customer (internal & external) needs.	Diagnosed customer needs inaccurately; lacked consistency in meeting customer needs; was not attentive and inquisitive when dealing with customers; did not consistently meet time, quality and cost requirements.	Accurately assessed customer needs; provided necessary or requested service within acceptable timeframes requiring few corrections or revisions; sought customer feedback and expression of satisfaction with work product. Occasionally sought alternative solutions.	Frequently anticipated internal and external customer needs; advanced quality alternative solutions work quality was characterized by exceptional insights and technical expertise.




	Unsatisfactory 	Commendable 	Exceptional 
DEFINITION			
Decisiveness Readiness to make decisions, render judgements, and take actions based upon logical analysis of alternatives, evaluations of risks and benefits, and priority setting.	Poor approach to decision making, and/or slowness in making decisions. Had difficulty in generating and weighing alternatives. Unable to correctly identify and balance risks and benefits. Frequently poor decision making led to missed goals, objectives, or poor resource allocation. Didn't generate enough alternatives, and was often unable to balance risk and benefits.	Made sound decisions, based on available facts, with appropriate timing. Could demonstrate that alternatives were considered and could show the risk/benefits of each alternative. Decision process led to consistently appropriate actions with positive business impact. Demonstrated skill at generating alternative courses of actions and was apt at laying out the risks/benefits of each alternative, and at establishing which alternatives were best in rank order. Actions stemming from decisions resulted in real, measurable positive business improvement or objective realization.	Consistently demonstrated the ability to effectively deal with difficult and/or sensitive issues, providing comprehensive analysis and well thought through alternatives. Consistently focused on the best alternatives having the optimum risk/benefit balance. Decisions consistently led to major advances for the unit with respect to productivity, customer service, or quality of work.
Communication Effective expression of ideas, concepts or directions in individual or group situations, using supportive gestures, voice level and organization of materials. If communication is written, thoughts are expressed with appropriate grammar, organization and structure.	Informal communication was ineffective due to disorganization of thoughts, and/or inappropriate use of voice volume/tone. Formal presentations failed to inform or persuade due to lack of structure or poor organization. Didn't listen during verbal exchanges. Written communication was poorly structured, contained poor grammar, or was difficult to read due to inadequate organization. Communication flaws included: poor listening, no organization of thoughts, or inappropriate gestures.	Successfully communicated ideas, thoughts or directions. Asked appropriate questions and involved the listener. Sought clarification and affirmed understanding in verbal exchanges. Used appropriate supportive gestures, voice level and organization of materials. Formal presentations were organized and had appropriate detail. Written communication was concise and appropriate for target audience. Key points were understood by intended audience. Affirmed understanding with appropriate questions.	Excelled in the communication of ideas, thoughts or directions. Thought well, fast and appropriately on his or her own feet in formal situations. Informal presentations created word pictures, leaving no room for confusion. Apt questions uncovered lingering confusion. Presented complex or technical information in a manner easily understood by target audience. Written communication was letter perfect and clearly appropriate for target audience.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
<p>External Awareness Monitors trends and developments in the external business/operational environment and prepares formal and informal projections on a timely basis for incorporation into tactical and strategic plans. Takes into account external changes, such as changing market/ customer/ social/political/ operational conditions and forecasts and plans for their impact on mission attainment.</p>	<p>Often failed to monitor changes in the external environment and did not do environmental scanning or interpret external environmental data for use in meeting organizational objectives. When environmental scanning is done, the results were flawed due to faulty data collection/analysis/ reporting, or weak follow-through. When made aware of conditions that impact the ability to deliver goods and services, rarely recommended improved methods or procedures that would help the organization obtain its goals and objectives.</p>	<p>Regularly took steps to gather information and monitor changes and developments in the external environment. Anticipated changing conditions and took action to address them before a problem occurred. Regularly demonstrated a professional approach to data collection/analysis, using it to enhance mission/ goal/objectives attainment whenever possible. Occasionally monitored trends and developments in the business/operational environment, exercising professional care/ diligence in data collection/analysis/ reporting. Accurately forecasted and identified changing conditions and situations and reported same on timely basis for incorporation into tactical and strategic plans.</p>	<p>Proactively scanned the external environment on a regular basis using information on political, economic, technological, social and changing market/ customer conditions to enhance the organization's business advantage. Inspired/motivated others to scan the environment and accurately predict the potential impact of identified changes on operations and mission attainment.</p>




	Unsatisfactory 	Commendable 	Exceptional 
DEFINITION			
Financial Management 1 Prepares, justifies, and/or administers the budget for one or more program areas. Plans, administers and monitors expenditures to ensure cost effective support of programs and policies.	Budget preparation was extremely weak, identifying few applicable program budget elements and their probable costs. Justifications were very vague and were unsuccessful in securing authorization of budget requests. Expenditure reporting and monitoring analysis was fragmented and not timely; appropriate action was often not taken, which results in cost effectiveness suffering. Policies related to budgetary concerns were not upheld.	Budget preparation was successful, identifying the key required program budget elements and their probable costs. Justifications were persuasive, and were usually ultimately successful in securing authorizations of budget requests. Once approved, budgeted program expenditure planning was typically ample, targeted and timely, leading to substantive program support, with few gaps of significance. Expenditure reporting and monitoring analysis was usually timely and accurate; appropriate action was taken when necessary and cost effectiveness was maintained. Policies related to budgetary concerns were upheld.	Budget preparation was extremely thorough, identifying the universe of applicable program budget elements and their probable costs. Justifications were very compelling and were always successful in securing authorization of budget requests. Once approved, budgeted program expenditure planning was extremely thorough, accurately targeted and timely, leading to superb program support, with no gaps. Expenditure reporting and monitoring analysis was always timely and accurate; appropriate action was taken when necessary and cost effectiveness was maintained. Policies related to budgetary concerns were upheld.




	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Financial Management 2 Manages a financial operation in conformity with State and Federal Law, OMB Requirements and Professional rules, standards and principles of the Financial Accounting Standards Board (FASB), the Government Accounting Standards Board (GASB) and Generally Accepted Accounting Principles (GAAP). Ensures the efficient, effective and professional management of financial/ accounting operations.	Failed to follow standard rules of financial management and accounting in government. Demonstrated irresponsible behavior with respect to managing financial matters. Caused audit problems by departing from generally accepted accounting principles. Was aware of what constitutes responsible behavior with respect to managing financial matters but did not take the initiative to ensure compliance with state, federal and professional principles or to advance the understanding and professional practice of effective financial management, control and accountability.	Followed appropriate policies, procedures and rules governing financial matters. Ensured financial/ accounting records, reports and related documents were completed in accordance with standard policies and procedures. Occasionally anticipated potential problems or emerging issues and addressed them. Demonstrated knowledge of current theory and practice in government finance and accounting.	Established and managed an efficient, effective and professional financial management system. Was conversant with critical thinking and current developments in theory and practice in government finance and accounting. Explored alternatives to and explanations of past and current financial/ accounting practices. Incorporated new theory and practice into current work methods.
Flexibility Adapts behavior and work methods in response to changing conditions, new information, emergency situations and/or shifting priorities.	Demonstrated inability to modify behavior in response to change; was inflexible and ineffective in performing work under varying conditions. Failed to deal with unforeseen emergencies. Rarely modified behavior in response to change.	Demonstrated a capability to modify behavior in response to change. Generally adapted to changing conditions and emergency situations. Effectively performed work under varying conditions. Adjusted work behaviors and methods to accommodate for multiple demands, shifting priorities, ambiguity and rapid change in work situations.	Effectively addressed changing conditions, emergencies and other contingencies. Incorporated new information based on changes into behaviors and work methods. Acted as change agent in response to fluctuating work circumstances; regularly encouraged others to modify behavior in response to changing needs.




	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Interpersonal Skills Uses interpersonal skills to take charge, direct, motivate or coordinate activities to achieve results and follow up.	Did not secure cooperation. Lacked control and failed to motivate others. Follow-up was not evident. Methods fell short of getting desired results.	Succeeded in gaining respect. Generated a positive working environment that produced expected results. Involved and motivated others to achieve desired results.	Achieved exceptional results through instilling confidence and motivating others. Effectively used the full range of interpersonal skills in achieving exceptional results.
Internal Controls Assures controls are developed and maintained to protect the integrity of the organization's resources and assets from fraud, waste, abuse, and mismanagement, including the development of appropriate policies and procedures. From a financial/ accounting/ auditing/ management perspective, provides "reasonable assurance" that an organization's objectives will be achieved.	Failed to follow internal control practices, policies and procedures. Demonstrated irresponsible behavior with respect to management, use and/or care of organization's resources and assets. Failed to adhere to/practice internal control policies, procedures and regulations, or ensure the adequacy or appropriateness of actions taken. Wasted or abused resources and/or assets. Did not take the initiative to ensure compliance with internal control procedures or adequacy of actions taken regarding waste, fraud, abuse and mismanagement.	Regularly followed proper internal control procedures regarding the assessment, control and reduction of risk regarding waste, fraud, abuse and mismanagement. Exercised care/diligence in the exercise of internal controls ensuring records, reports and related documents were completed and that the organization followed appropriate practices/policies/ procedures to help attain organizational results.	Established, executed, and ensured organizational conformity with internal control practices/policies/ regulations to reduce risks to efficient/effective achievement of organizational objectives. Monitored/modified the internal control process to include critical thinking and current developments in the practice of internal control to enhance the organization's response to changing conditions. Identified potential internal control problems/ emerging issues and acted to address them. Promoted the ongoing use of internal controls in support of accomplishing the operational/organizational mission.
Job Knowledge/Skills Extent to which employee knows the details of the job. Understands job and applies necessary technical knowledge and skills.	Rarely demonstrated any application of skills or knowledge which clearly had an adverse effect on job performance. Rarely able to answer queries. Usually did not know when to ask others for information.	Effectively demonstrated job knowledge and ability to answer queries. Knowledge and skills contributed to the work of the unit.	Demonstrated expert skills and knowledge above expectations. Stayed abreast of recent developments and changes in job's technical area or discipline. Knowledge was sought by others and thought to have significant impact on the results of the work of the unit.




	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Leadership Influencing individual and/or groups toward desired behaviors and results by accepting suitable leadership styles, using interpersonal skills and influencing organizational values and systems.	Did not assume appropriate leadership roles or engage in behavior which encouraged others toward desired results. Did not take on challenges. Failed to ensure work complied with organization standards. Could not influence others toward desired behaviors. Style and/or techniques were not appropriate for the situation to achieve desired results. Did not take the lead in responding to customer needs.	Demonstrated willingness to assume leadership roles. Influenced others towards desired behaviors or results. Style was usually commensurate with person/situation to achieve desired results or behaviors. Used interpersonal skills to influence individuals and/or group values. Ensured completed work complied with organizational standards and values. Ensured completed work complied with organizational standards and values.	Assumed appropriate leadership roles with groups and individuals when necessary. Consistently adopted a style commensurate with person or situation to ensure desired results or behaviors. Persuaded others to accept own point of view. Modeled excellent standards of performance to guide others toward desired behavior. Took on challenges. Enhanced the self esteem of others. Encouraged diversity. Took the lead in setting standards of excellence in work.
Manages Human Resources Sets performance expectations; provides feedback; develops employees; promotes cooperation and teamwork; <i>appraises employee performance</i> ; identifies employees' needs and works with them to improve; encourages adherence to core values.	Did not clarify performance expectations for employees; did not recognize employee contributions or deficiencies; provided minimal feedback; failed to appraise employee performance in writing using the performance appraisal system. Identified potential internal control problems/emerging issues and acted to address them. Inhibited teamwork; planned without consulting affected parties; failed to utilize abilities of others; stifled efforts of others.	Set performance expectations; identified performance deficiencies; encouraged team effort; modified and updated staff plans as circumstances changed; assigned work to enhance employee development; recognized employee achievements; recognized capabilities and matched people with assignments. Encouraged others to achieve; provided feedback; encouraged employee participation; anticipated staff needs and developed contingency plans; prepared others for additional responsibilities; instilled confidence in others; encouraged teamwork.	Clearly correlated mission and goals of the work unit with expected and actual individual performance results; created a work environment which promoted synergy of effort and talent; empowered employees to identify and develop skills which supported the operational needs, mission and core values of the agency.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Managing Resources Identifies all physical plant, material, vendor and staff resources required to complete operational projects; uses allocated resources effectively and efficiently. Regarding staff, sets performance expectations; appraises employee performance; provides feedback; develops employees; promotes cooperation and teamwork; identifies employees' needs and works with them to improve; encourages adherence to core values.	Failed to identify the resources required to accomplish assigned projects; did not utilize a working resource control methodology. Regarding staff, did not clarify performance expectations for employees; did not recognize employee contributions or deficiencies; provided minimal feedback; failed to appraise employee performance in writing using the performance appraisal system; inhibited teamwork; planned without consulting affected parties; failed to utilize abilities of others; stifled efforts of others.	Identified the resources required to accomplish assigned projects; utilized a resource control methodology which minimized the waste of resources. Regarding staff, set performance expectations; identified performance deficiencies; encouraged team effort; modified and updated staff plans as circumstances changed; assigned work to enhance employee development; recognized employee achievements; recognized capabilities and matched people with assignments. Encouraged others to achieve; provided constant feedback; encouraged employee participation; anticipated staff needs and developed contingency plans; prepared others for additional responsibilities; instilled confidence in others; encouraged teamwork.	Identified with precision the resources required to accomplish assigned projects; utilized a resource control methodology which fully optimized the use of allocated resources. Regarding staff, clearly correlated mission and goals of the work unit with expected and actual individual performance results; created a work environment which promoted synergy of effort and talent; empowered employees to identify and develop skills which supported the operational needs, mission and core values of the agency.
Managing/Valuing Diversity Builds, maintains, and/or contributes to a work environment that is fair, equitable, inclusive and cooperative in valuing individual differences such as culture, race, ethnicity, religion, gender, sexual orientation, physical attributes, lifestyles, interests, values or other differences.	Failed to make appropriate social accommodations to ensure a fair, inclusive, and respectful working environment. Did not demonstrate respectfulness for individual differences. Created and/or encouraged a hostile environment for others.	Incorporated different perspectives into work actions; fostered a fair and inclusive environment demonstrating respect for others. Worked towards a proactive approach in soliciting and using contributions from diverse perspectives.	Championed diversity and demonstrated through specific actions its value in the organization. Created a work culture that fostered fairness, respect and cooperation. Recognized individual differences while building an environment of esprit de corps.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Negotiation Explores alternative positions to reach outcomes that gain support and acceptance; communicates in a manner that gains agreement and ownership.	Failed to gain agreement or acceptance most of the time. Gave in too easily. Did not stand firm on positions. Referred many solvable problems to others for resolution.	Built consensus in order to meet desired outcomes. Explored positions to reach outcomes that would gain support and acceptance. Gained agreement or acceptance of plans or proposals from others. Developed strategies for giving on some points and standing firm on others in order to achieve desired outcome. Conferred with counterparts to negotiate solutions to problems.	Performed as a recognized expert on alternative positions for complex problems or significant issues. Brought matters believed lost to stalemate or litigation to amicable resolution.
Communication, Oral Effective expression of ideas, concepts or directions in individual or group situations, using supportive gestures, voice level, and organization of materials.	Informal communication was ineffective due to disorganization of thoughts, and/or inappropriate use of voice volume/tone or gestures. Formal presentations failed to inform or persuade due to lack of structure or poor organization. Didn't listen during verbal exchanges. Communication flaws included: poor listening, no organization of thoughts, inappropriate gestures.	Successfully communicated ideas, thoughts or directions. Asked appropriate questions and involved the listener. Sought clarification and affirmed understanding in verbal exchanges. Used appropriate supportive gestures, voice level and organization of materials. Formal presentations were organized and had appropriate detail. Verbal communications, formal and informal, were consistently well organized, well structured and to the point. Affirmed understanding with appropriate questions.	Excelled in the communication of ideas, thoughts or directions. Thought well, fast and appropriately in formal situations. Informal presentations created word pictures, leaving no room for confusion. Apt questions uncovered lingering confusion. Presented complex or technical information in a manner easily understood by target audience.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Change Management Understands how social/ cultural, political, technological and organizational forces/ systems work, and operates effectively to insure that changing conditions impact employees, operations and mission attainment in accord with procedures, rules and regulations of the work/ organization.	Failed to be aware of or to monitor changes in the internal operating environment. Ignored/failed to detect potential problem areas or to react/respond to problem conditions on a timely basis. Failed to study, review or demonstrate an awareness or concern about the internal operating methods, procedures, policy or rules that would impact employees, operations and mission attainment. When aware of conditions that impact the internal operational environment, could not recommend improved methods, procedures or policies to improve mission attainment.	Regularly took specific steps to be aware of and to monitor changes and developments in the internal organizational environment. Anticipated potentially adverse changes and took action to address them before a problem occurs. Was sensitive and/or responsive to conditions in the internal operating environment that impact employees, operations and mission attainment. Monitored conditions within the internal operating environment and their impact on employees, operations and mission attainment. Understood the importance of a stable internal environment and dealt with competing social, technical, organizational and political demands.	Created an operation that anticipated change and planned for it so that organizational objectives are encouraged despite competing social, political, technical and organizational changes. Inspired others to scan the operational environment for changing conditions, worked to optimize the positive and lessen the negative, and the potential impact of these changes on employees, procedures and mission attainment.
Planning, Organizing and Evaluating Determines objectives and strategies; coordinates with other parts of the organization to accomplish goals; monitors and evaluates the progress and outcomes of operational plans; anticipates potential threat or opportunities to achievement of objectives and strategies.	Failed to identify components of a plan, or to logically structure action steps and priorities. Plans were incomplete or overly complex. Resources were not properly utilized. Outcome monitoring and evaluation were not addressed.	Demonstrated full understanding of planning, organizing and evaluating. Planning approach showed appreciation for the influence of complex issues which impact the employee's area of responsibility. Plans had appropriate level of detail and proper priorities were established. Problems and opportunities were anticipated. Resource allocation was appropriate and/or efficient and on target. Plans included monitoring and evaluation criteria and mechanisms.	Planning approach showed grasp of complex issues which impact the employee's area of responsibility. Plans contained detailed coordination processes and contingency planning. Organization of resources was at an optimum to achieve objectives. Plans very effectively provided for an outcome evaluation process and improvement.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Problem Solving Identifies and analyzes problems; uses sound reasoning to arrive at conclusions; finds alternative solutions to complex problems; distinguishes between relevant and irrelevant information to make logical judgements.	Demonstrated a poor approach to problem resolution and was slow in resolving problems. Had difficulty in making choices and establishing alternatives. Failed to identify and/or distinguish risks and benefits, needed considerable assistance in identifying alternatives and evaluating risks and benefits.	Performed as a competent problem solver. Exhibited a logical approach to problem solving. Considered risks and benefits in weighing alternatives.	Consistently exercised a logical, thorough approach to problem solving which resulted in meaningful solutions to complex problems.
Project Management Organizes tasks and people in order to achieve specific project objectives.	Did not evaluate relevant factors or viable alternatives; had difficulty defining and identifying problems and finding solutions; did not establish project priorities. Missed project deadlines; did not consider impact on others; created disruption within work groups; costs were not considered in decisions or actions.	Insured that all involved had a common understanding of the objectives, priorities and development of the project; created and evaluated alternative solutions; anticipated problems; consistently met project deadlines, schedules and budget.	Achieved project objectives of substantial quality within or below budget, occasionally ahead of schedule through the managed effort of an empowered team which was focused on meeting or exceeding project requirements.
Safety Contributes to a safe and secure working environment for self and others in the performance of the job functions and the delivery of services.	Failed to follow safety rules for self or to make safety a priority in dealing with others. Did not use available safety equipment or resources to maintain a safe work area. Behaved as if safety was not a critical element of the work environment. Was aware of conditions that affected operational and employee safety, but did not recommend safety improvements.	Took specific steps to demonstrate safe work practices. Anticipated potential safety issues and took action to alleviate them before a problem occurred. Observed appropriate safety standards and minimized exposure to unsafe conditions for self and others. Regularly demonstrated compliance with safety requirements and recommended measures to enhance safety whenever possible. Set an example in demonstrating safety requirement.	Was a role model in demonstrating safety requirements. Implemented new and technically sound processes, procedures and equipment to enhance safety on a continuous. Created a safety culture dedicated to technical and operational excellence. Encouraged others to create, promote and maintain a safe work environment.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Self Management Sets well defined and realistic courses of action to accomplish tasks or objectives; monitors own progress in order to achieve goals.	Failed to establish plans to accomplish work; did not prioritize work or complete important work first; did not follow work plans. Was easily distracted or allowed less important work to interfere.	Established and adhered to goals; planned and scheduled in order to complete tasks or objectives. Prioritized work including multiple important tasks; modified and updated plans. Occasionally had contingency plans; allocated proper amount of time and personal resources to activities.	Established goals, plans and schedules to complete tasks taking into consideration controllable and uncontrollable variables; had detailed contingency plans and coordinated multiple processes; prioritized multiple important tasks. Organization of time and personal resources was at optimum level.
Team Building Creation of unity of purpose through development of a shared vision and shared objectives; and through appropriate delegation and shared accountability for results.	Subordinates and/or project team members achieved few, if any objectives. There was no evidence of any attempt to clarify vision, jointly establish objectives, or otherwise create a team structure. Decision authority and latitude of action was not delegated.	Objectives were achieved through the establishment of a team vision and effort. Team efforts were encouraged and pro-active steps taken to give members of the team appropriate authority levels and latitude of action. Documented success was due to a team working together from a shared vision, individual but shared objectives, and appropriate delegation with suitable controls established by the manager.	The achievement of objectives was superior as a result of a well-managed, participatory approach to the creation of the team's vision, establishing objectives and jointly set accountability with controls based on self-feedback of results.
Teamwork 1 Works collaboratively in a group as a team member to accomplish stated goals.	Did not share information or cooperate with others on team. Engaged in negative interaction or promoted destructive conflict among team members. Failed to responsibly assume fair share of workload.	Supported the team in meeting or exceeding essential objectives. Responsibly accomplished work assignments in support of team objectives. Effectively cooperated with and contributed to help meet established team results. Worked to encourage good performance from others. Shared information in order to help team members accomplish goals. Encouraged other team members to be successful.	Supported the team in significantly exceeding the essential objectives. Contributed exceptionally well and maximized the effectiveness of the group. Gave regular feedback to team regarding process and accomplishments. Ensured that group goals had priority over individual recognition. Alternated appropriately between leader and member to achieve the best team results.

	Unsatisfactory	Commendable	Exceptional
	1	2	3
DEFINITION			
Teamwork 2 Works as a team member to accomplish team goals.	Teamwork achieved few, if any objectives and serious negative consequences resulted. No evidence of motivation and clarity of purpose.	Teamwork achieved or exceeded essential objectives. Motivation and clarity of purpose were evident within the group. Effectively contributed and coordinated with others.	Teamwork consistently achieved and exceeded required objectives. There was significant evidence of high motivation and clarity of purpose within the group. Contributed exceptionally well and maximized the effectiveness of the group.
Technology Management Integrates available technologies into the workplace; develops strategies using technology to manage and improve program effectiveness; understands the impact of technology on the organization.	Failed to integrate available technology into the workplace with any success; did not take advantage of opportunities to develop strategies to use new technology to manage and improve program effectiveness; misunderstood the impact of technological changes on the organization.	Successfully integrated available technology into the workplace; developed productive strategies using new technology to manage and improve program effectiveness; understood the impact of technological changes on the organization and/or began to redefine the impact of technological changes on the organization.	Was extremely successful in integrating available technology into the workplace; developed very powerful strategies using new technology to manage and improve program effectiveness; fully understood and mastered the impact of technological changes on the organization.

	Unsatisfactory 1 	Commendable 2 	Exceptional 3 
DEFINITION			
Vision Develops a broad, long term view of an issue/challenge/ problem and recommends/ creates a strategy for future change. Takes the organization out of its normal operating domain by creating an environment that discovers and optimizes future opportunities. Uses similarities between current and prior trends/situations to successfully deal with future events.	Failed to create adequate strategies for the future growth of the organization. Took only a parochial view of social, political and economic climates in charting a course for future organizational growth and direction.	Created new ideas and alternatives to be successful in a changing business environment. Generally initiated opportunities for long-term growth and was proactive in obviating future problems. Considered broad outcomes in developing alternatives and evaluating different possibilities for the future of the organization. Occasionally envisioned new possibilities, anticipated the future, and acted to develop a strategy for future growth.	Anticipated changing social, political and economic climates in consideration of possible future events. Created new opportunities or eliminated potential problems by considering the forces that will shape the future. Was proactive in creating long-term opportunities, leading others in making decisions and in acting today in anticipation of the near and distant future.
Communication, Written Effective expression of ideas or concepts, utilizing appropriate grammar, organization and structure.	Written communication was poorly structured; was confusing due to poor structure or organization; contained or was hampered by poor grammar, or was difficult to read due to inadequate organization.	Written communication contained appropriate grammar and was well organized. Main points were understood by intended audience. Written communication was also concise, and appropriate for target audience; causing no confusion as to intent.	Written communication was letter perfect and clearly appropriate for target audience; it presented complex or technical information in a manner easily understood by target audience.

Appendix B

Sample Goals, Job Responsibilities and Essential Criteria

Goals:

Provide broader public access to administrative rulemaking through wider distribution of the Register and Administrative Code in both print and electronic formats.

Provide lists of qualified candidates to appointing authorities at the time of need.

Increase the number of riders on the New Jersey Rail Systems.

Job Responsibilities:

Assures the safety and well being of the patients at all times.

Screens calls coming into the employment center.

Develops courses for entry-level programmers.

Oversees the marketing and advertising of OAL publication.

Maintains logs for identifying and tracking decisions and other work-in-process.

Maintains disc with decisions and places copies of decisions in library file drawer.

Supervises closing out of all case files to be sent to various State agencies.

Supervises and directs “transmittal of files” cover letter to appropriate agency which lists each case by docket number and name.

The examples provided are hypothetical and for purposes of illustration only.

Examples of Essential Criteria for Measuring Performance:

Cost

Cost:

- Dollars spent
- Variance against budget
- Ratio of replacement vs. repair cost
- Waste & overtime incurred
- Total cost of training given
- Amount of money saved by recommendations/suggestions

Time

Time (Clock / Calendar) Measures

- Reduction in time required for preventive maintenance process.
- Deadlines and schedules met
- Average response time
- Projects completed per month (on time)
- Number of minutes before initial contact
- Number of hours to respond to requests
- Number of days it takes to complete an unusual case
- Number of days to fill a training need once determined

Quantity

Quantity

- Number of services provided
- Number of units produced
- Calls per hour
- Percent of correspondence answered within certain number of days
- Percent of training needs filled

Quality

Quality

- Accuracy of information provided
- Ratio of error / correct cases
- Customer complaints and Thanks
- Error rate or rejects
- Compliance with specifications
- Returned items
- Internal feedback and reports
- Supervisor's and customer's perception of quality of response

Essential Criteria

Reports conditions which may impact on the safety and well being of patients at the beginning of the shift or immediately as situations occur.

Calls are answered on the second ring and directed to the appropriate personnel.

Courses are developed in accordance with established guidelines and procedures and are submitted 3 months prior to inclusion in annual brochure.

Annually, no later than October 15, prepare the NJ Register publication deadline schedule for the following year. No later than Dec. 15, prepare the Register production schedule for the following year.

Logs, discs and file drawers are accurate at all times and decisions placed in library file drawer by the end of each week.

Ensures that case files are matched and closed out with 95% sent to agency no later than 10 calendar days after receipt by South Unit.

Answers phones, takes messages and handles public inquiries.

No more than 2 valid complaints per month; phones will be answered courteously within 2 rings, messages will be complete (date, time, caller, phone number, message).

Oversees the development of PARs for all staff within Bureau and has PARs completed within two weeks of due dates.

Sample Essential Criteria

Secretary / Clerical

- Number of times message are (or are not) delivered
- Percent of action items done (or not done) on schedule
- Period reports completed on schedule (or not completed on schedule)
- Number (or Percent) of Administration errors (not using the right procedures)
- Percent of pages typed (retyped)
- Amount of filing completed per week
- Documents filed properly (or improperly) per week
- Percent of telephone calls answered within two rings
- Pages processed error-free per hour
- Number of customer complaints per month
- Percent of errors on time cards

Accountants / Auditors

Accountants / Auditors

Percent of reports on time (or late)

Average number of days from receipt to processing documents

Number of complaints by users

Percent of errors in reports

Amount of time spent appraising/correcting input errors

Time spent correcting erroneous inputs

Number of audits completed per month

Number of audit errors made per month

Customer satisfaction – i.e. number of complaints about inefficiencies

Human Resources

Human Resources (Personnel)

Number of grievances processed per month

Percent of total required PAR forms completed

Time to process documents (per type of document)

Time to process new employee applications

Customer satisfaction – Number of customer complaints;

Number of complaints satisfactorily resolved

Number of classification actions processed

Number of compensation actions processed

Number / Percent of discrimination complaints processed

Time to process insurance claims

Number of suggestions resubmitted and approved

Percent of documents file on schedule

Percent of training courses evaluated excellent

Number of days to answer suggestions

Customer satisfaction indices –

Number of EEO/AA Complaints

Opinion survey ratings

Time to answer customer complaints

Administration / Purchasing

Purchase order cycle time
Errors per purchase order
Time to answer customer complaints
Percent of requested items delivered on schedule

Secretary

Major Job Responsibility and Essential Criteria

Job Responsibility: Receptionist

Incumbent's performance will be considered "Commendable" when eight out of ten calls are answered within three rings and callers are greeted in the tone of voice modeled during training, as well as with the name of the department (organization) and the Receptionist's name followed by "May I help you?"

These apply when the number of calls and the number of "walk-ins" do not exceed 20% of average.

Research Scientist-Labor

Major Job Responsibility and Essential Criteria

Job Responsibility: Lead / conduct research projects regarding labor markets and significant developments, including identification of trends and establishing an early warning system to notify management of unfavorable variances from norms.

Essential Criteria: Research assignments are assigned an accurate priority rating on the following scale:

- Priority #1—Responsibilities related to NJ Labor Market
- Priority #2—Research related requests
- Priority #3—Databases and related assignments
- Priority #1 responsibilities are completed within 24 hours of being received.
- Priority #2 responsibilities are completed within one workweek of being received.
- Priority #3 responsibilities are completed on an as time is available basis.
- Employee consults with supervisor when priorities and deadlines conflict.

Telephone Operator

Major Job Responsibility and Essential Criteria

Job Responsibility: Answers the telephone

- Telephone manner is pleasant and courteous. It may be necessary to define courteous and pleasant if the employee has difficulty meeting this standard or if you have a very specific behavioral requirement (ex. phone courtesy requires answering in three or fewer rings).
- Employee does not leave callers on hold for longer than 30 seconds without acknowledging they are still waiting
- Information provided to callers is correct and complete
- Messages are complete and delivered promptly
- Customer complaints do not exceed 2 per annual rating period

Maintenance Repair

Major Job Responsibility and Essential Criteria

Job Responsibility: Preventive maintenance. Responsible for completion of preventive maintenance to ensure smooth-flowing, uninterrupted production.

Essential Criteria ___% of Preventive Maintenance orders completed on time

___% of jobs requiring re-work

___% parts accurately ordered and deployed

___% supply –repair items in stock vs. out of stock

Customer Service Manager

Major Job Responsibility and Essential Criteria

Job Responsibility: Responsible for customer satisfaction, including satisfactorily and efficiently addressing and resolving customer complaints while managing the customer service budget to meet expense constraints and center goals. Also responsible for improving / streamlining flows, including reducing time it takes to resolve complaints; Consolidation of customer service centers.

Essential Criteria: By the end of June 2000, reduce time necessary to resolve complaints from 10 to 5 days. By end of FY 2000 consolidate 2 customer service centers without any decrease in performance.

HSA/CTT

Major Job Responsibility and Essential Criteria

Basic Ratee Assignment: To provide active treatment to individuals and assure their safety, well-being and appearance.

Job Responsibility: Assures individual's safety and well being at all times

Essential Criteria: Accounts for whereabouts and follows the supervisors' directions as determined by the IDT;

Follows the criteria prescribed for protective services;

Reports situations which affect individual's safety and well being;

Respond to differing needs of individuals on different shifts

**Some Development
Activity Alternatives** Special Projects or Assignments

Working with a Peer or closely with the Manager

Mentoring

Training Courses, Videos or Audio Cassettes

Library Research or Other Relevant Readings

Seminars and Workshops

Local and National Professional Association Memberships

Appendix C

Justification

Ms. Work prepared additional documents to support the request for an increase in funding for the program. After the meeting, it was determined that her foresight was the reason why funding was granted. She consistently goes beyond what is asked and encourages others to do likewise. Another example of the consistent high level of her performance is her organizing a team of support staff to reorganize the work area in order to improve communications and the flow of work. Without direction, she prepared a proposal on her own time, met with the staff during her lunch hour and when they reached consensus, presented the approach to management.

This would justify an “exceptional” rating for a Secretarial Assistant but may not be sufficient to justify such a rating for an Administrative Assistant. Expectations play an important role in determining the rating. Those in higher titles are expected to do more, to think outside of the box and to be more self-directed. These expectations vary based on the organizational culture and should be taken into account when assigning a rating.

Appendix D

Justification with Development Plan

Mr. Land has a real interest in computers and has functioned well in his role on the Help Desk. His knowledge of various applications and customer service skills have been acknowledged by over 100 callers to the center during this past year. However, he is not proficient in network problems. This causes delays in responses during emergencies and he should receive some additional training in this area.

Development Plan: Course in local area networks

Specific Action: At the earliest possible date, sign up for and take the Network Course at the local community college. In addition, meet with Ms. Comp on Monday mornings to discuss the types of networks used by our clients.

Appendix E

Common Evaluation Errors to Avoid

Leniency

The supervisor has observed unacceptable behavior but avoids dealing with the problems. This sends a message to the employee that all is well with his/her performance and that the unwanted behaviors are acceptable.

Central Tendency

All employees receive equivalent ratings regardless of performance. This error creates morale problems for outstanding performers. Poor performers are given the perception that their performance is equal to the outstanding performers'.

Recency

The supervisor bases the evaluation on incidents and behaviors observed within the few weeks leading up to the review discussion rather than the entire review period.

"Halo" Effect

The supervisor rates the individual satisfactory on all or most job factors, but gives an overall rating of outstanding.

"Pitchfork" Effect

The employee is rated outstanding on all but one job factor, yet receives an overall rating of satisfactory.

Appendix F

Performance Assessment Review (PAR)

Frequently Asked Questions (FAQs)

Who is required to receive a PAR?

In State Service, the Performance Assessment Review (PAR) Program shall apply to all employees in the career service, as well as those in unclassified titles as designated by particular departments or agencies. While not mandated, departments and agencies are encouraged to include all unclassified titles in the PAR Program.

When should I receive my PAR Job Expectations (Section I)?

Within a reasonable time after the start of the new rating period, new appointments or promotion. A face-to-face meeting with your supervisor should take place to review the elements of your PAR (i.e. the Job Expectations, Performance Factors and Evaluation Conversion to Overall Rating.)

Recommended: 2-3 weeks

What should happen if I disagree with the Job Expectations?

Assuming that you have noted your disagreement with supporting comments, you and your supervisor should discuss the situation to see if it can be resolved. If not, the reviewer should then be consulted to see if a resolution can be reached. Depending on the issue, the employee has the option of filing a classification appeal or a non-contractual grievance. However, until the issue is resolved, the Job Expectations remain in effect.

May I be assigned duties not on my PAR?

Yes. Your Par Job Expectations contain only your major job responsibilities. However, if a duty becomes a significant part of your workload, it then should become part of your Job Expectation, with both you and your supervisor initialing and dating the change or addition.

What happens if I do NOT receive a Final Rating?

First, you should ask your supervisor, then the reviewer, for a Final Evaluation Rating. If you are unsuccessful, you should then contact your Personnel Office to inform them of the situation. If a Final Evaluation Rating is not submitted, there will not be an Official Rating entered in PMIS and PARS. However, for promotional or layoff purposes, you will be treated as if you received a rating of “Commendable” or “2” for that rating period.

When are PAR Ratings NOT used to add points to promotional examinations?

1. Whenever a supervisor completes a performance rating for one of the supervisor’s subordinates or acts as a reviewer for a subordinate’s rating and competes in the same promotional examination, then the PAR Ratings are not used for any applicants in that unit scope.
2. When the rating is older than one rating period.

How does PAR relate to the Working Test Period?

The PAR Job Expectations should be completed at the beginning of the Working Test Period. These Job Expectations can then assist in the completion of the Working Test Period Evaluation. The Interim and Final PAR Ratings and Plans are completed twice each year, six months apart, regardless of the starting date of the Working Test Period.

For what period of time am I rated?

The rating cycle is one year; however, six months after the Initial Agreement, the Interim assessment is due and six months later, the Final assessment is due.

Will my rating period change if I go on Leave of Absence?

Rating periods have been standardized and are not tied into your anniversary date as in the past. Your rating period will remain the same if you take a leave. You will be rated for the time you actually worked.

What happens if I change supervisors or transfer to a new unit, but keep my same title and duties?

A pro-rated “closeout” PAR Evaluation should be done with the former supervisor. New Job Expectations should be developed with the new supervisor. At the end of the rating period, the ratings of the former supervisor and the new supervisor should be pro-rated to arrive at the Final Rating.

What happens to my PAR if I get promoted or my title changes?

In this case, you should receive a Final Rating for the former title. New Job Expectations should be developed for the new title.

What happens if I receive a Rating of Unsatisfactory?

If you receive a rating of “Unsatisfactory,” your supervisor must make clear in your Final Development Plan the steps you must take to bring your performance up to the “Commendable” level. A performance conference shall be conducted after three months or such shorter period of time as determined by the supervisor.

After I reach Step 8 in the compensation scale, do I still have to wait 18 months until my Final Evaluation Rating is completed?

No, you continue to receive a Final Evaluation Rating on the scheduled dates. The increment for Step 9 will be given 18 months after you have received your Step 8 increment. Approval or denial of this increment will be based on the most recent Final Rating.

When will I receive my increment?

If you are entitled to receive an increment, your increment will be given on the pay period of your Anniversary Date. If you receive a Rating of Unsatisfactory on your most recent PAR, your increment will be denied.

What is the role of the Reviewer?

The reviewer is the rater’s rater. He/she should ensure that the process is handled equitably. If there are concerns, the reviewer should attempt to resolve them. It is the rater who has ultimate responsibility for the ratings assigned to his/her ratees.

Can an agency have more than one PAR model?

Yes. Agencies were given the choice of PAR models. Selections were made based on agency needs and the type of work assignments for groups of employees.

Does an agency have to have written PARs for its employees?

Yes, PARs must be documented on the prescribed forms.

Can an agency rate “by exception” and assume that most employees are performing at an acceptable level?

No, every employee should have a PAR and thereby be given the opportunity to grow and develop professionally.

What kinds of performance factors / elements can an agency use in PARs?

The listing of performance factors can be found in Appendix A.

What is a “significant fact or event?”

A significant fact or event is something that is out of the ordinary for the employee in question.

Does an employee have to have a PAR Rating of “Unsatisfactory” before action can be taken?

No, if a supervisor notices deviations in performance, immediate intervention should occur. The employee should be given every opportunity to improve.

Does the Department of Personnel (DOP) have to approve an agency’s PAR System?

Yes, the Department of Personnel (DOP) must approve all PAR systems.

If an agency makes minor changes to their PAR System, must it obtain approval from the Department of Personnel (DOP)?

Yes, information on PAR models, rating cycles, etc. are housed in the database, PARS, and used for reporting purposes. Any changes to the system must be approved by the Department of Personnel (DOP).

Are agencies required to use a “Forced Distribution” Rating approach? Are they permitted to use such a method?

Ratings should be based on the performance of an individual employee. Ratings should not be based on some predetermined perception that a certain number of employees must fall into a particular category.

Are there any “safeguards” to prevent intentional or unintentional rating errors?

Audits will be conducted by the Department of Personnel to determine if errors have occurred. In addition, the Performance Assessment Review System will check for errors in calculating the final rating.

What, if any, steps are available for employees who feel they have been unfairly or inaccurately rated?

Employees have the non-contractual grievance procedures available to them, as well as the newly formed Joint Union Management Panel.

Does the Rater (Supervisor) have the authority or responsibility to tell an employee that the employee’s performance is “Unsatisfactory”

It should be the goal as the employee’s supervisor (Rater) to keep the employee informed about the assessment of the employee’s performance, particularly when that assessment is negative. In addition, there may be a policy or practice in agencies that must be followed when notifying employees that their performance is “Unsatisfactory”.

Does the Rater (Supervisor) have to wait for the Interim or Final Performance Assessment Review to tell an employee that the employee's performance is "Unsatisfactory"?

No. Good managers provide employees with performance feedback on an ongoing basis, throughout the rating period. The important thing to remember is that no one likes to feel "sandbagged" at PAR time—Interim or Final—so the rater should confront any poor performance as soon as it becomes evident.

Should a Ratee get a copy of all the Rater's documents about the employee's performance?

Employees must be given a copy of the documents they sign for the Initial Agreement, Interim and Final sessions that pertain to goals, expectations and responsibilities, measurement criteria, etc. It is expected that supervisors may take "supervisory" notes to serve as "memory joggers" regarding the employee's performance. For example, these notes can include the dates or number of times an employee was given an instruction. This type of "supervisory" information does not have to be included in the documents given to the employees.

NOTES



Personnel

July 2001

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